

KYC Case # [REDACTED]

Status : **6. Approved**

One sheet must be established per relationship - list all accounts included in the relationship

1. Relationship Details			
Relationship Name:	EPSTEIN, JEFFREY RELATIONSHIP: [REDACTED]	Booking Center:	New York
Relationship Manager:	Paul Morris		
Relationship to PWM:	<input checked="" type="checkbox"/> New PWM Relationship <input type="checkbox"/> Existing PWM Relationship		
	If existing, please indicate since when the relationship exists, provide reason for new profile and attach old profile:		
How Was the Client(s) Introduced? How long has the RM personally known the client?	<input type="checkbox"/> Client Referral <input checked="" type="checkbox"/> RM Prospect <input type="checkbox"/> Intermediary/FIM <input type="checkbox"/> Other Source (CIB, etc.)		
	Please provide details (e.g. name of referral source, how many years RM personally has known client, etc.): Jeffrey is a current client of the bank. These are new accounts. Introduction of Paul and Jeffrey: Jeffrey Epstein was a client of Paul's at JP Morgan. Paul and Jeffrey Epstein had a mutual friend/colleague who introduced them while Paul was at JPMorgan. Over the course of a few meetings Paul was able to get Jeffrey to bring some of his funds over to JPMorgan		
Does Deutsche Bank pay a retrocession or similar compensation to a third party for the introduction of this relationship?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
	(If Yes, describe):		
List all existing and new accounts involved in this relationship			
	Legal Entity Account(s)	Account Name / Number	Opening Date (intended/actual)
1	<input checked="" type="checkbox"/>	Jeepers Inc	9/18/2013
2	<input checked="" type="checkbox"/>	Jeepers Inc	9/18/2013
Who is the primary contact person for the RM? (Note: This person needs to have signatory rights and/or information right for the accounts.):	Jeffrey Epstein		Preferred method of contact(indicate phone no., fax no., e-mail address, etc.): [REDACTED]

SDNY_GM_00053497

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DB-SDNY-0016321

EFTA_00164078

EFTA01294870

One sheet must be established for each account to be opened

2. Account Ownership Summary												
Account Name:		Jeepers Inc					Acct. Number (if available):					
Account Manager:		Paul Morris										
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? Checking account for Jeepers Inc daily liquidity needs.												
Indicate from where the assets are expected to arrive?												
<input type="checkbox"/> DB Group: Same Booking Center (indicate account number): <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input checked="" type="checkbox"/> Other Institution (Indicate name & location): JPMorgan Chase. New York, NY <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):												
What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)? Roughly 5-10 inflows and outflows per month ranging from \$1,000 to \$10,000												
What is the expected volume of assets and currency for the account approx. 90 days after opening?		25,000			Currency		USD					
What is the expected volume of assets and currency for the account approx. one year after opening?		50,000			Currency		USD					
Please list all parties related to the account.												
For each party:												
<ul style="list-style-type: none"> • Check if a source of wealth description is required for the party. • Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected). • If none of the check boxes apply, describe the party's relation to the account in the "Other" column. • Always describe the relationship between the parties in the last column. • Please drill down to the ultimate/underlying Beneficial Owner(s). 												
	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Jeepers, Inc	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

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DB-SDNY-0016322

EFTA_00164079

EFTA01294871

2. Account Ownership Summary												
Account Name:		Jeepers Inc					Acct. Number (if available):					
Account Manager:		Paul Morris										
What is the purpose of the account (e.g. portfolio management, advisory account, custody services, long-term investment, payment/expense account)? Money Market account to hold Jeepers Inc's cash.												
Indicate from where the assets are expected to arrive?												
<input type="checkbox"/> DB Group: Same Booking Center (indicate account number): <input type="checkbox"/> DB Group: Other Booking Center (indicate DB location and account details): <input checked="" type="checkbox"/> Other Institution (Indicate name & location): JPMorgan Chase. New York, NY <input type="checkbox"/> Physical Deposits (specify cash, securities, cheques, ...):												
What is the expected size and frequency of regular inflows and outflows for the account (indicate estimated number and volume per month)? Roughly 1-2 inflows and outflows per month ranging from \$1,000-\$10,000												
What is the expected volume of assets and currency for the account approx. 90 days after opening?		50,000					Currency			USD		
What is the expected volume of assets and currency for the account approx. one year after opening?		150,000					Currency			USD		
Please list all parties related to the account.												
For each party:												
<ul style="list-style-type: none"> • Check if a source of wealth description is required for the party. • Check the appropriate box to describe the relationship of the party to this account (> 1 can be selected). • If none of the check boxes apply, describe the party's relation to the account in the "Other" column. • Always describe the relationship between the parties in the last column. • Please drill down to the ultimate/underlying Beneficial Owner(s). 												
	Legal Entity	Description of Source of Wealth required	Parties related to this account	Account Holder	PIC Owner	Settlor of Trust / Founder of Foundation	Ultimate Beneficial Owner	Signatory or Full POA	Limited POA	Financial Intermediary (FIM)	Significant Shareholder (>=25%) Non-PIC entity (indicate ownership %)	Other (please describe other roles and/or indicate relationship between parties)
1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Jeepers, Inc	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Jeffrey Epstein	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

One sheet must be established for EACH INDIVIDUAL PARTY in Section 2. Account Ownership Summary

3A. Individual Details (for all parties)					
Individual's Name:	Jeffrey Epstein - [REDACTED]	Date of Birth:	1/20/1953		
Country of Residence:	USVI	Country of Citizenship:	USA		
Address of primary residence:	Litte Saint James Saint Thomas 00802 US Virgin Islands				
Profession/Occupation:	Self Employed	Tax ID / SSN:	[REDACTED]		
Current Employer:	Southern Financial LLC	Position/Title/Rank:	President		
Address of employer:	6100 Red Hook Quarter B3 St. Thomas USVI 00802				
Is the individual a Politically Exposed Person (PEP)? (if Yes, describe)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
To the best of your knowledge, is the individual related to an employee of the DB group? (if Family or Friendship, describe)		<input type="checkbox"/> Family <input type="checkbox"/> Friendship <input checked="" type="checkbox"/> None			
To the best of your knowledge, is the individual party to a non-banking relationship with Deutsche Bank (e.g., external legal counsel, client referral source, supplier of goods or services)? (if Yes, describe)		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
If applicable, indicate which bank officers have met the person:		Indicate where and when the client meeting(s) took place:			
Bank Officer Name(s)	Bank Office:	Client Private Domicile:	Client Place of Business:	Other Location (specify):	Date:
Paul Morris	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		8/7/2013
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Wealth Details for this individual are not filled in, because they are the same as for the following person:

3B. Wealth Details (Only for parties requiring source of wealth description as indicated in Section 2)			
Nature of the Individual's Business:	Private investments		
Summarize Source of Wealth:	<input checked="" type="checkbox"/> Business Owner <input type="checkbox"/> Salary/Earnings <input checked="" type="checkbox"/> Investment <input type="checkbox"/> Inheritance/Gifts <input type="checkbox"/> Other:		
Further Describe Source of Wealth /Detail the history of wealth for each of the sources: (e.g. For trusts, how did settlor accumulate wealth? For inheritance, how did family accumulate wealth?For business owners, how long in business, how many employees, level of profitability? Indicate type of business, countries of major activities, important business partners.) Epstein began his financial career in 1976 as an options trader at Bear Stearns and became a partner in 1980. In 1982, Epstein founded his own financial management firm, J. Epstein & Co., managing the assets of clients with more than a billion in net worth. In 1996, Epstein changed the name of his firm to The Financial Trust Company and based it on the island of St. Thomas in the US Virgin Islands. All of his clients were anonymous except for the very wealthy businessman Leslie Wexner. His wealth has come from his days at Bear Stearns and his financial management firms			
Estimated Annual Income (\$):	10,000,000.00	Estimated amount of investable assets(\$):	\$50 MM - 100 MM
Estimated Net Worth(\$):	\$100 MM - 500 MM	Amount of assets planned to invest with PWM(\$):	
Other Known Financial Institutions:			

Institution:	JPMorgan Chase	Country:	USA	Est. Assets Under Mgt:	20,000,000.00
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	
Please indicate the family situation of the individual (marital status, other family members, etc.): Single					

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One sheet must be established for EACH LEGAL ENTITY in Section 2. Account Summary

3C. Legal Entity Details (For all Legal Entities)			
Legal Entity Name:	Jeepers, Inc - 00000486423		
Type of Entity:	<input type="checkbox"/> Foundation/Association <input type="checkbox"/> Trust <input checked="" type="checkbox"/> Company <input type="checkbox"/> Estate <input type="checkbox"/> Partnership	Purpose of Entity:	<input checked="" type="checkbox"/> Private Investment <input type="checkbox"/> Philanthropic/Charitable <input type="checkbox"/> Commercial
Type of Entity Other (specify):		Purpose of Entity Other (specify):	
Country of incorporation/registration:	United States Virgin Island	Date of incorporation / registration:	8/18/2003
Address (city, street, post code):	6100 Red Hook Quarter B3 St, Thomas 00802 USVI	U.S. TIN/EIN:	66-0629193
Provide a description of the entity's organizational structure, its ownership structure and its Top Management. For trusts/foundations, include information about revocability, settlor and beneficiaries, etc.:			
Jeffrey Epstein is the sole shareholder of Jeepers Inc			
Please indicate how ownership of the legal entity is reflected: 1,000 shares of common stock are solely owned by Jeffrey Epstein			
<input type="checkbox"/> Special attention: Bearer Shares - Indicate where shares are custodied:			
Describe the chain from the direct owner of the entity to the ultimate beneficial owner (if not the same persons): Jeffrey Epstein is the sole shareholder of Southern Trust Company, Inc			
To the best of your knowledge, is the entity party to a non-banking relationship with Deutsche Bank (e.g. external legal counsel, client referral source, supplier of goods or services)?:		Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
Describe Nature of Entity's Primary Business and Investment Activities			
Nature of the business:	Jeepers Inc is a private company that holds investments of its owner, Jeffrey Epstein.		
Countries where business is transacted:	USA, USVI		
Number of employees:	3		

3D. Wealth Profile (Only for parties requiring source of wealth description as indicated in Section 2)					
Provide Evidence of Corporate Assets (e.g. balance sheet or equivalent summary of assets/liabilities):					
Jeepers Inc was started to hold the personal investments of Jeffrey Epstein. The company began with 1,000 shares of common stock at no par value. Its revenue comes from the gains of the investments it holds.					
Estimated gross receipts p.a.(\$):	400,000.00				
Estimated net profit p.a. (\$):	200,000.00				
Estimated investable assets (\$):	\$20 MM - 50 MM				
Potential Amount to be invested with PWM (\$):	200,000.00				
Other Known Financial Institutions:					
Institution:	JP Morgan Chase	Country:	USA	Est. Assets Under Mgt:	28,000,000.00
Institution:		Country:		Est. Assets Under Mgt:	
Institution:		Country:		Est. Assets Under Mgt:	



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DB PWM GLOBAL KYC/NCA: US/LatAm/Int'l **PART B** 

Relationship Name	EPSTEIN, JEFFREY RELATIONSHIP					
Booking Center	<input checked="" type="checkbox"/> NY	<input type="checkbox"/> NY/Offshore	<input type="checkbox"/> Offshore	<input type="checkbox"/> Moderate Risk	<input checked="" type="checkbox"/> High Risk	Gwen Hill

(Compliance Signature)

<input type="checkbox"/> DB Employee	<input type="checkbox"/> DB Managed PIC	<input type="checkbox"/> DB is Trustee/Co-Trustee	<input type="checkbox"/> Bearer Shares
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4. Attachments			
A. Type of Photo ID Provided	<input checked="" type="checkbox"/> Drivers License	<input type="checkbox"/> Passport	<input type="checkbox"/> National/State ID <input type="checkbox"/> Other
B. Checklist of names (individuals and/or entities) that were submitted for database searches is attached	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	
C. Please indicate the results of the database searches performed			
RDC searches complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
PCR checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
OFAC checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
BIS searches complete (Lexis/Nexis, Factiva, Reuters, Dow Jones, D&B)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Denial Orders checks complete	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Martindale-Hubbell searched (Lawyers/Law Firms only)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	negative results found	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please summarize any negative results from the database searches indicated above: JEFFREY EPSTEIN: Jeffrey was approved in KYC #01082293 His PCR/RDC alerts and clearances and all documentation is contained in the above mentioned KYC			
D. JEEPERS, INC No Negative Media All court cases are not our client. The court cases refer to a Jeepers Inc in Arizona and one in North Carolina. Our client is based in the US Virgin Islands			
E. To the best of your knowledge, has the client ever been convicted of a criminal offense? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
To the best of your knowledge, has the customer ever been involved in any past litigation against Deutsche Bank AG or any of its subsidiaries or is the customer threatening litigation against Deutsche Bank AG or any of its subsidiaries? (If Yes, provide details below and contact Quality Mgt. (LatAm/Int'l) or the Regulatory Control Group and notify Compliance immediately)			
F. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
G. Does the client or related party have any financial or other association / interactions within countries or regimes sanctioned by the Office of Foreign Assets Control (OFAC)? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
H. Does the client or related party have any financial or other association/ interactions within high risk countries? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
I. Corporate Documentation Attached (Legal Entities Only) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable			
J. Undisclosed Principal Form Complete (Intermediaries Only) <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable			
K. If Lexis/Nexis Search Results, Corporate Documents or Other Supporting Documentation is not in English, please provide an English summary of the nature/contents of the non-English Documentation:			

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DB-SDNY-0016328

EFTA_00164085

EFTA01294877

M. Case Comments

No records to display.

ONSHORE APPROVALS

Client Facing Professional (CFP):	Paul Morris	(Signature) Paul Morris	9/4/2013
Office Director/Business Head:	Brian M. Biggar	(Signature) Brian M. Biggar	9/4/2013
Regional Office Director:		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:	Janice Franklin Gwen Hill	(Signature) Janice Franklin Gwen Hill	9/6/2013 9/6/2013

LATAM/INTERNATIONAL APPROVALS

Client Facing Professional (CFP):		(Signature)	
Account Manager:		(Signature)	
Global Market Team Head (GMTH)/Sub-Market Team Head (SMTH):		(Signature)	
AML Business Risk:		(Signature)	
AML Compliance:		(Signature)	

PRIVATE WEALTH MANAGEMENT POLICY STATEMENT: Deutsche Bank Private Wealth

Management (PWM) worldwide is committed to professionally serve the interests of its clients. To do so, Client Facing Professionals (CFP's) should establish and maintain business relationships only with persons who satisfy our high standards of suitability, background and character. Due diligence obtained on the client must be appropriately documented by the CFP. It is the responsibility of CFP's to demonstrate that they know their client both at the inception of a relationship and on an ongoing basis.

DECLARATION FOR ALL SIGNERS OF THIS FORM: *To the best of my knowledge and belief the above information is correct and up to date. I confirm that I have no suspicions relating to the money laundering or unethical activities on the part of the client(s) and that I have followed all the procedures relating to account opening as described in the PWM Americas Procedures and the PWM Global KYC Policy*

(1) Client Facing Professionals (CFP's) include: Relationship Managers, Wealth Advisors, Product Officers, Brokers, Client Managers, etc.



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